

Express Mail No. EV328709331US
Date of Deposit: September 22, 2003

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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Applicant: Mark Hoffman et al.
Serial No.: 09/696,762
Filed: October 25, 2000
For: INVESTMENT ADVICE SYSTEMS AND METHODS
Examiner: Not Yet Assigned
Art Unit: 3628

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Mail Stop Non-Fee Amendment
Commissioner for Patents
P.O. Box 1450
15 Alexandria, VA 22313-1450

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PRELIMINARY AMENDMENT A

Sir/Madam:

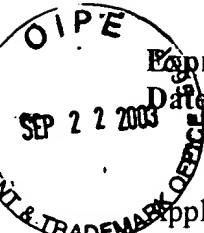
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Before examination of the above-identified application, please amend the application as follows.

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Attorney Docket No. 24309-501

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P.O. Box 1450
Alexandria, VA 22313-1450

TRANSMITTAL LETTER

Sir/Madam:

In reviewing our file for the above-referenced application, we discovered that Preliminary Amendment A (filed July 18, 2003) was inadvertently submitted **without** markings to indicate changes that have been made relative to the immediate prior version of the claims (for the claims that were currently amended) as indicated in 37 CFR 1.121. Thus, to ensure compliance of Preliminary Amendment A with 37 CFR 1.121, we are transmitting herewith for filing in the above-referenced application the following documents:

- 1) A copy of Preliminary Amendment A **with** markings to indicate changes that have been made relative to the immediate prior version of the claims for the claims that were currently amended; and
- 2) Return Poscard.

If the enclosed papers are considered incomplete, the Mail Room is respectfully requested to contact the undersigned collect at 617-542-6000, Boston, Massachusetts.

Applicants believe that no additional fees are due in connection with this submission. However, the Commissioner is authorized to charge any additional fees that may be due, or credit any overpayment of same, to Deposit Account No. 50-0311, Reference No. 24309-501. A duplicate copy of this Transmittal Letter is enclosed.

Respectfully submitted,

C. Eric Schulman, Esq. (Reg. No. 43,350)

Mintz, Levin, Cohn, Ferris,

Glovsky and Popeo, P.C.

One Financial Center

Boston, MA 02111

Telephone 617/542-6000

Attorneys for Applicants

Dated: September 22, 2003

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Correspondence should be addressed to customer number 30623.